

**STATE OF TENNESSEE
OF ECONOMIC AND COMMUNITY
Y DEVELOPMENT BLOCK GRANT
APPLICANT/RECIPIENT
DISCLOSURE/UPDATE REPORT**

Instructions. (see page 4 for line by line instructions.)

Part 1 Applicant/Recipient Information

Indicate whether this is an initial Report ☐

or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code)

Social Security Number or
Employer ID Number

2. Project Assisted/to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State)

3. Assistance Requested/Received

4. CDBG Program

5. Amount Requested/Received
\$

Part II. Threshold Determinations - Applicants Only

1. Are you requesting CDBG assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, and have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from CDBG States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted?

☐ Yes ☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign the certification below and answer the next question.

I hereby certify that this information is true. (Signature) _____

Date _____

2.. Is this application for a specific housing project that involves other government assistance?

☐ Yes ☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign this certification.

I hereby certify that this information is true. (Signature) _____

Date _____

If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

Part III. Other Government Assistance Provided/Requested

Department/State/Local Agency Name and Address

Program

Type of Assistance

Amount Requested/Provided

Is there other government assistance that is reportable in this Part and in Part V, but that is reported only in Part V? ☐ Yes ☐ No

If there is no other government assistance, you must certify that this information is true.

I hereby certify that this information is true. (Signature) _____ Date _____

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Part IV. Interested Parties

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)	Social Security Number or Employee ID Number	Type of Participation in Project/Activity	Financial interest in Project/Activity (\$ and %)

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If there are no persons with a reportable financial interest, you must certify that this information is true.

I hereby certify that this information is true. (Signature) _____ Date _____

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Part V. Report on Expected Sources and Uses of Funds

Source

If there are no sources of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) _____ Date _____

Use

If there are no uses of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) _____ Date _____

Certification

Warning: If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosure of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

I certify that this information is true and complete.

Signature	Date
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INSTRUCTIONS

Section I. Overview.

Section 102 of the Department of Housing and Urban Development Reform Act of 1989 requires initial disclosure reports from applicants for Community Development Block Grant (CDBG) assistance and update reports from recipients of CDBG assistance.

- A. Applicant disclosure (initial) reports: All applicants for CDBG assistance from the State of Tennessee for a specific project or activity must disclose:
1. Assistance from other government sources in connection with the project.
 2. The financial interest of persons in the project.
 3. The sources of funds to be made available for the project, and
 4. The uses to which the funds are to be put.
- B. Update reports: All recipients of CDBG assistance must submit update reports to reflect substantial changes to the initial applicant disclosure report. The recipient must make the following additional disclosures:
1. Any information that should have been disclosed in connection with the application, but that was omitted.
 2. Any information that would have been subject to disclosure in connection with the application, but that arose at a later time, including information concerning an interested party that now meets the applicable disclosure threshold referred to in Part III. below.
 3. For changes in previously disclosed other government assistance, any change that exceeds the amount of such assistance that was previously disclosed by \$250,000, or by 10 percent of the amount previously disclosed for that source, whichever is lower.
 4. For changes in previously disclosed financial interests, any change in the amount of the financial interest of a person that exceeds the amount of the previously disclosed interests by \$50,000.
 5. For changes in previously disclosed sources of uses of funds:
 - a. any change in a source of funds that exceeds the amount of all previously disclosed sources of funds by \$250,000, or by 10 percent of the amount previously disclosed for that use, whichever is lower.
 - b. any change in a use of funds that exceeds the amount of all previously disclosed uses of funds by \$250,000 or by 10 percent of the amount previously disclosed for all uses of funds, whichever is lower.

Section II. Line-by-Line Instructions.

A. Part I. Applicant/Recipient Information

All Applicants for CDBG Assistance, as well as all recipients required to submit an update report, must complete the information required in Part I. The applicant/recipient must indicate whether the disclosure is an initial or an update.

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
2. Applicants enter the name and full address of the project or activity for which the CDBG assistance is sought. Recipients enter the name and full address of the CDBG assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., contract, grant, or loan No.) Include prefixes.
3. Applicants describe the CDBG assistance sought. Recipients describe the CDBG assistance to which the update report relates.
4. Applicants enter the CDBG program name under which the assistance is being requested. Recipients enter the CDBG program name under which the assistance, that relates to the update report, was provided.
5. Applicants enter the amount of CDBG assistance that is being requested. Recipients enter the amount of CDBG assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.

B. Part II. Threshold Determinations--Applicants Only

Part II contains information to help the applicant determine whether the remainder of the form must be completed. Recipients filing Update Reports should not complete this Part.

1. The first question asks whether the applicant meets the Nature of Assistance and Dollar Threshold requirements.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct, and to complete the next question.

2. The second question asks whether the application is for a specific housing project that involves other government assistance.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct.

If the answer to both questions 1, and 2 is No, the applicant need not complete Parts III, IV, or V of the report, but must sign the certification at the end of the form.

C. Part III. Other Government Assistance

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports. Applicants must report any other government assistance involved in the project or activity for which assistance is sought. Recipients must report any other government assistance involved in the project or activity, to the extent required under Section I.B.1., 2., or 3., on the first page of these instructions.

Other government assistance is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit or any other form of direct assistance from the federal government. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the CDBG assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request. The following information must be provided:

1. Enter the name and address, city, State and zip code of the government agency making the assistance available. Include at least one organizational level below the agency name. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
2. Enter the program name and any relevant identifying numbers, or other means of identification, for the other government assistance.
3. State the type of other government assistance (e.g., loan, grant, loan insurance).
4. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the CDBG assistance is sought (applicants) or has been provided (recipients).

If the applicant has no other government assistance to disclose, it must certify that this assertion is correct.

To avoid duplication, if there is other government assistance under this Part and Part V, the applicant/recipient should check the appropriate box in this Part and list the information in Part V, clearly designating which sources are other government assistance.

D. Part IV. Interested Parties.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

Applicants must provide information on:

1. All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and

2. any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Recipients must make the additional disclosures referred to in Section I.B.1., 2., or 4, above.

NOTE: A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses of all persons referred to in paragraph (1) or (2) of this Part. If the person is an entity, the listing must include the full name of each officer, director, and principal stockholder of the entity. All names must be listed alphabetically, and the names of individuals must be shown with their last names first.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the CDBG assistance involved.

If the applicant has no persons with financial interests to disclose, it must certify that this assertion is correct.

E. Part V. Report on Sources and Uses of Funds.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

The applicant disclosure report must specify all expected sources of funds--both from CDBG and from any other source--that have been or are to be, made available for the project or activity. Non-CDBG sources of funds typically include (but are not limited to) other government assistance referred to in Part III, equity, and amounts from foundations and private contributions. The report must also specify all expected uses to which funds are to be put. All sources and uses of funds must be listed, if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the source or use will be forthcoming.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.B.5., above.

General Instructions -- sources of funds

Each reportable source of funds must indicate:

- a. The name and address, city, State, and zip code of the individual or entity making the assistance available. At least one organizational level below the agency name should be included. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
- b. The program name and any relevant identifying numbers, or other means of identification, for the assistance.
- c. The type of assistance (e.g., loan, grant, loan insurance).

General Instructions -- uses of funds

Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as "total structure" to include a number of structural costs, such as roof, elevators, exterior masonry, etc.